

**UNIVERSITY OF CALIFORNIA
LAWRENCE LIVERMORE NATIONAL LABORATORY**

REPRESENTATIONS & CERTIFICATIONS

The following representation & certification solicitation provisions must be completed and this form must be signed and returned with the Offeror's Proposal.

As used herein, the term "Subcontract" shall also mean "Purchase Order," the term "Offer" shall also mean "Bid," "Proposal" and "Quotation," and the term "Offeror" shall also mean "Bidder," "Proposer," and "Quoter," as applicable.

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1. TYPE OF ORGANIZATION *(Check & Complete All That Apply)*

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|--|--|--|
| <input type="checkbox"/> Sole proprietorship | <input type="checkbox"/> Partnership | <input type="checkbox"/> Corporation |
| <input type="checkbox"/> Educational institution | <input type="checkbox"/> Other non-profit organization | <input type="checkbox"/> Foreign Government entity |
| <input type="checkbox"/> U. S. Government entity (Federal, state, or local) | | |
| <input type="checkbox"/> International organization (per 22 U. S. C. 288-288f) | | |
| <input type="checkbox"/> Other non-U. S. company, institution, or organization <i>(describe below)</i> | | |
| <input type="checkbox"/> Other <i>(describe)</i> : _____ | | |
| <input type="checkbox"/> Number of employees: _____ <i>(If other than a government entity)</i> | | |

2. CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS *(Applicable to Offers Exceeding \$100,000)*

- (a) The definitions and prohibitions contained in the clause at FAR 52.203-12, Limitation on Payments to Influence Certain Federal Transactions, are hereby incorporated by reference in paragraph (b) of this certification.
- (b) The Offeror, by signing below, hereby certifies, to the best of his or her knowledge and belief that, on or after December 23, 1989:
- (1) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of any Federal contract or subcontract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract or subcontract, grant, loan, or cooperative agreement;
- (2) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with this solicitation, the Offeror shall complete and submit, with its offer, OMB standard form LLL, Disclosure of Lobbying Activities, to the University; and

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- (3) He or she will include the language of this certification in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of \$100,000 shall certify and disclose accordingly.
- (c) Submission of this certification and disclosure is a prerequisite for making or entering into the resultant Subcontract, imposed by Section 1352, Title 31, United States Code. Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure form or to be filed or amended by this provision shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, PROPOSED DEBARMENT AND OTHER RESPONSIBILITY MATTERS *(Applicable to Offers Exceeding \$100,000)*

- (a) (1) The Offeror certifies, to the best of its knowledge and belief, that:
 - (i) The Offeror and/or any of its Principals:
 - (A) Are ☐, are not ☐, presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts or subcontracts by any Federal agency;
 - (B) Have ☐, have not ☐, within the three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property; and
 - (C) Are ☐, are not ☐, presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in subdivision (a)(1)(i)(B) of this provision.
 - (ii) The Offeror has ☐, has not ☐, within a three-year period preceding this offer, had one or more contracts or subcontracts terminated for default by any Federal agency or Government contractor.
- (2) "Principals," for the purposes of this certification, means officers, directors, owners, partners, and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager, plant manager, head of a subsidiary, division, or business segment, and similar positions).

THIS CERTIFICATION CONCERNS A MATTER WITHIN THE JURISDICTION OF AN AGENCY OF THE UNITED STATES AND THE MAKING OF A FALSE, FICTITIOUS, OR FRAUDULENT CERTIFICATION MAY RENDER THE MAKER SUBJECT TO PROSECUTION UNDER SECTION 1001, TITLE 18, UNITED STATES CODE.

- (b) The Offeror shall provide immediate written notice to the University if, at any time prior to Subcontract award, the Offeror learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (c) A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Offeror's responsibility. Failure of the Offeror to furnish a certification or provide such additional information as requested by the University may render the Offeror nonresponsible.
- (d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

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- (e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Government or the University, the University may terminate the Subcontract resulting from this solicitation for default.

4. **SMALL BUSINESS PROGRAM REPRESENTATIONS**

(Applicable if any performance will be inside the United States, its territories or possessions, Puerto Rico, the District of Columbia, or the Trust Territory of the Pacific islands.)

- (a) (1) The North American Industry Classification System (NAICS) code for this acquisition is as indicated in the solicitation.
- (2) The small business size standard is as indicated in the solicitation.
- (3) The small business size standard for a company which submits an offer in its own name, other than on a construction or service subcontract, but which proposes to furnish a product which it did not itself manufacture, is 500 employees.

(b) **Representations**

- (1) The Offeror represents as a part of its offer that it is ☐, is not ☐, a small business concern.

(Complete (2), (3), (4), (5) and (6) below, as applicable, only if offeror represented itself as a small business concern in block (b)(1) of this provision.)

- (2) The Offeror represents, for general statistical purposes, that it is ☐, is not ☐, a small disadvantaged business concern as defined in 13 CFR 124.1002.
- (3) The Offeror represents as part of its offer that it is ☐, is not ☐, a women-owned small business concern.
- (4) The Offeror represents as part of its offer that it is ☐, is not ☐, a veteran-owned small business concern.
- (5) The Offeror represents as part of its offer that it is ☐, is not ☐, a service-disabled veteran-owned small business concern.
- (6) The Offeror represents as part of its offer that:

- (i) It is ☐, is not ☐, a HUBZone small business concern listed, on the date of this representation, on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration, and no material change in ownership and control, principal office of ownership, or HUBZone employee percentage has occurred since it was certified by the Small Business Administration in accordance with 13 CFR Part 126; and
- (ii) It is ☐, is not ☐, a joint venture that complies with the requirements of 13 CFR Part 126, and the representation in paragraph (b)(6)(i) of this provision is accurate for the HUBZone small business concern or concerns that are participating in the joint venture.

[The offeror shall enter the name or names of the HUBZone small business concern or concerns that are participating in the joint venture:

_____.]

Each HUBZone small business concern participating in the joint venture shall submit a separate signed copy of the HUBZone representation.

(c) **Definitions.** As used in this provision:

- (1) "Small business concern," means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts and subcontracts, and qualified as a small business under the criteria in 13 CFR 121 and the size standard in paragraph (a) of this provision.
- (2) "Women-owned small business concern," means a small business concern

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- (i) That is at least 51 percent owned by one or more women or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and
 - (ii) Whose management and daily business operations are controlled by one or more women.
- (3) "Veteran-owned small business concern" means a small business concern
 - (i) Not less than 51 percent of which is owned by one or more veterans (as defined in 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and
 - (ii) The management and daily business operations of which are controlled by one or more veterans.
- (4) "Service-disabled veteran-owned small business concern" means a small business concern
 - (i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and
 - (ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

Service-disabled veteran means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).
- (d) Notice.
 - (1) If this solicitation is for supplies and has been set aside, in whole or in part, for small business concerns, then the clause in this solicitation providing notice of the set-aside contains restrictions on the source of the end products to be furnished.
 - (2) Under 15 U.S.C. 645(d), any person who misrepresents a firm's status as a small, HUBZone small, small disadvantaged, or women-owned small business concern in order to obtain a contract or subcontract to be awarded under the preference programs established pursuant to sections 8(a), 8(d), 9, or 15 of the Small Business Act or any other provision of Federal law that specifically references section 8(d) for a definition of program eligibility shall (i) be punished by imposition of fine, imprisonment, or both; (ii) be subject to administrative remedies, including suspension and debarment; and (iii) be ineligible for participation in programs conducted under authority of the Act.

5. SMALL DISADVANTAGED BUSINESS STATUS

(Applicable if the Offeror represents that it is a Small Disadvantaged Business Concern.)

- (a) General. This provision is used to assess an offeror's small disadvantaged business status for the purpose of the evaluation of the offer. Status as a small business and status as a small disadvantaged business for general statistical purposes is covered by the Small Business Program Representation provision, above.
- (b) Representations.
 - (1) General. The offeror represents, as part of its offer, that it is a small business under the size standard applicable to this acquisition; and either--
 - ☐ (i) It has received certification by the Small Business Administration as a small disadvantaged business concern consistent with 13 CFR 124, Subpart B; and
 - (A) No material change in disadvantaged ownership and control has occurred since its certification;
 - (B) Where the concern is owned by one or more disadvantaged individuals, the net worth of each individual upon whom the certification is based does not

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exceed \$750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and

(C) It is identified, on the date of its representation, as a certified small disadvantaged business concern in the database maintained by the Small Business Administration (PRO-Net); or

☐ (ii) It has submitted a completed application to the Small Business Administration or a Private Certifier to be certified as a small disadvantaged business concern in accordance with 13 CFR 124, Subpart B, and a decision on that application is pending, and that no material change in disadvantaged ownership and control has occurred since its application was submitted.

(2) ☐ For Joint Ventures. The offeror represents, as part of its offer, that it is a joint venture that complies with the requirements at 13 CFR 124.1002(f) and that the representation in paragraph (b)(1) of this provision is accurate for the small disadvantaged business concern that is participating in the joint venture.

[The offeror shall enter the name of the small disadvantaged business concern that is participating in the joint venture:_____.]

(c) Penalties and Remedies. Anyone who misrepresents any aspects of the disadvantaged status of a concern for the purposes of securing a contract or subcontract shall: (1) Be punished by imposition of a fine, imprisonment, or both; (2) Be subject to administrative remedies, including suspension and debarment; and (3) Be ineligible for participation in programs conducted under the authority of the Small Business Act.

6. PREVIOUS CONTRACTS AND COMPLIANCE REPORTS

(Not Applicable to performance on Indian Reservations or outside the U.S. by employees not recruited within the U.S.)

The Offeror represents that:

- (a) It has ☐, has not ☐, participated in a previous contract or subcontract subject to the Equal Opportunity clause of this solicitation; and
- (b) It has ☐, has not ☐, filed all required compliance reports.

If (a) above is answered "has participated" and (b) above is answered "has not filed all required compliance reports," the Offeror certifies as the applicable reason that: it has less than fifty employees ☐; it does not have a Federal Government prime contract or first-tier-subcontract amounting to \$50,000 or more ☐; or other ☐ (explain): _____.

7. AFFIRMATIVE ACTION COMPLIANCE

(Not Applicable to Construction Work or to performance on Indian Reservations or outside the U.S. by employees not recruited within the U.S.)

The Offeror represents that (a) it has developed and has on file ☐, has not developed and does not have on file ☐, at each establishment, affirmative action programs required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2), or (b) it has not previously had contracts or subcontracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor ☐.

If the above is answered "it has not developed and does not have on file," the Offeror certifies as the applicable reason that: it has less than fifty employees ☐; it does not have a Federal Government prime contract or first-tier subcontract amounting to \$50,000 or more ☐; or other ☐ (explain): _____.

8. BUY AMERICAN ACT CERTIFICATE

(Not Applicable To Solicitations for Construction Services)

The Offeror certifies that each end product to be delivered, except those listed below, is a domestic end product as defined in FAR clause 52.225-1 entitled *Buy American Act - Supplies*, and that the Offeror has considered components of unknown origin to have been mined, produced, or manufactured outside the United States. The

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Offeror shall list as foreign end products those end products manufactured in the United States that do not qualify as domestic end products.

Foreign End Products	Country of Origin
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(List as necessary)

(Note: The University will take into consideration applicable provisions of Part 25 of the Federal Acquisition Regulation in evaluating offers for foreign end products)

9. REPRESENTATION OF LIMITED RIGHTS DATA AND RESTRICTED COMPUTER SOFTWARE

- (a) This solicitation sets forth the work to be performed if a Subcontract award results, and the University's/DOE's known delivery requirements for data (as defined in DEAR 927.409). Any resulting Subcontract may also provide the University/DOE the option to order additional data under the Additional Data Requirements clause at 52.227-16 of the FAR, if included in the Subcontract. Any data delivered under the resulting Subcontract will be subject to the Rights in Data - General clause that is to be included in the Subcontract. Under the latter clause, a Subcontractor may withhold from delivery data that qualify as limited rights data or restricted computer software, and deliver form, fit, and function data in lieu thereof. The latter clause also may be used with its Alternates II and/or III to obtain delivery of limited rights data or restricted computer software, marked with limited rights or restricted rights notices, as appropriate. In addition, use of Alternate V with this latter clause provides the University/DOE the right to inspect such data at the Subcontractor's facility.
- (b) The Offeror shall complete the representation in paragraph (c) of this provision to either state that none of the data qualify as limited rights data or restricted computer software, or identify, to the extent feasible, which of the data qualifies as limited rights data or restricted computer software. Any identification of limited rights data or restricted computer software in the Offeror's response is not determinative of the status of such data should a Subcontract be awarded to the Offeror.
- (c) Offeror has reviewed the requirements for the delivery of data, including computer software, and states:
(check appropriate block)
- ☐ None of the data proposed for fulfilling such requirements qualifies as limited rights data or restricted computer software.
- ☐ Data proposed for fulfilling such requirements qualify as limited rights data or restricted computer software and are identified as follows:

NOTE: The terms "data", "limited rights data", "restricted computer software", "computer software", and "form, fit, and function data" are defined in DEAR 927.409 as follows:

Data means recorded information, regardless of form or the media on which it may be recorded. The term includes technical data and computer software. The term does not include data incidental to the administration of the subcontract, such as financial, administrative, cost and pricing, or management information.

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Limited rights data means data, other than computer software, developed at private expense that embody trade secrets or are commercial or financial and confidential or privileged. (The Government's rights to use, duplicate, or disclose limited rights data are as set forth in the Limited Rights Notice of subparagraph (g)(2) of the Rights in Data - General clause.)

Restricted computer software means computer software developed at private expense and that is a trade secret; is commercial or financial and is confidential or privileged; or is published copyrighted computer software, including minor modifications of any such computer software. (The Government's rights to use, duplicate, or disclose restricted computer software are as set forth in the Restricted Rights Notice of subparagraph (g)(3) of the Rights in Data - General clause.)

Computer software means (i) computer programs which are data comprising a series of instructions, rules, routines, or statements, regardless of the media in which recorded, that allow or cause a computer to perform a specific operation or series of operations, and (ii) data comprising source code listings, design details, algorithms, processes, flow charts, formulae, and related material that would enable the computer program to be produced, created, or compiled. The term does not include computer data bases.

Form, fit, and function data means data relating to items, components, or processes that are sufficient to enable physical and functional interchangeability, as well as data identifying source, size, configuration, mating, and attachment characteristics, functional characteristics, and performance requirements; except that for computer software it means data identifying source, functional characteristics, and performance requirements but specifically excludes the source code, algorithm, process, formulae, and flow charts of the software.

Solicitation Number: _____

Title: _____

Signature: _____

Company: _____

Date: _____